

Planning and Other Action Generating Techniques

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Agenda

Why plan?

Planning steps

TMF capacity development

Technical assistance sources

Postscript

Questions

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Why Plan?

*Review the past,
Analyze the present,
Plan the future.*
William Hendricks

*We cannot solve our
problems with the
same thinking we
used when we
created them.*

Albert Einstein

Planning is...

**What you [SHOULD] do before you
do anything else.**

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Questions any Planning Process Should Answer

Where are we?

Where do we want to be?

How do we get there?

Why do we want to go there?

Are there alternatives?

What do we need to get there?

How long will it take?

Questions any Planning Process Should Answer

Who must do what to get us there?

How much will it cost?

Who will pay for it?

What are the hazards?

What are our chances of success?

What have we missed?

To Plan or Not to Plan

Planning pros:

- It precedes change and productive action
- It's the best way to assess where you are, where you want to go, and how you will get there
- **Planning generates project money**

To Plan or Not to Plan

Planning cons:

- You need a leader
- You need a future administrator
- **Personnel turnover**
- It takes time
- Disagreements

Successful Plans Tell you This:

Outline specifics:

- What is the goal (or goals)?
- Who will do what? When?
- How do we monitor progress?
- How do we get needed support?

How Much Planning Should you do? It Depends

Leader's (your) needs and abilities

Citizen's needs and abilities

If you can, get professional planning help

Your funder's needs and preferences

Start with immediate project needs, expand
from there

The Basic Planning Steps

- 1. Identify the problem(s) or issue(s) needing change**
- 2. Determine how the public can or should be involved**
- 3. Decide on the desired outcome**
- 4. Identify alternatives to achieve desired outcome and costs of each alternative (include “do nothing”)**

The Basic Planning Steps (continued)

- 5. With public involvement, select and implement an alternative**
- 6. Evaluate results and renew planning process**



Portfolio, “Bulk” Publications and Library Resources



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Why Plan?

In planner's terms:

- **Where are we?**
- **Where do we want to be?**
- **How do we get there?**

In EPA's terms:

- **What is our technical, managerial & financial capacity today?**
- **How will it look in the future?**

Technical, Managerial & Financial (TMF) Capacity

What is TMF capacity?

- **The demonstrated ability to provide proper, healthful and uninterrupted water (and other) services now, and into the future**

TMF Capacity

Why is TMF capacity important?

- Federal and state requirement
 - New systems must show TMF capacity to get their permit to dispense
 - Existing systems must show TMF in order to receive SRF funding
- It just makes good sense



What is TMF Assessment?

A look at your entire system

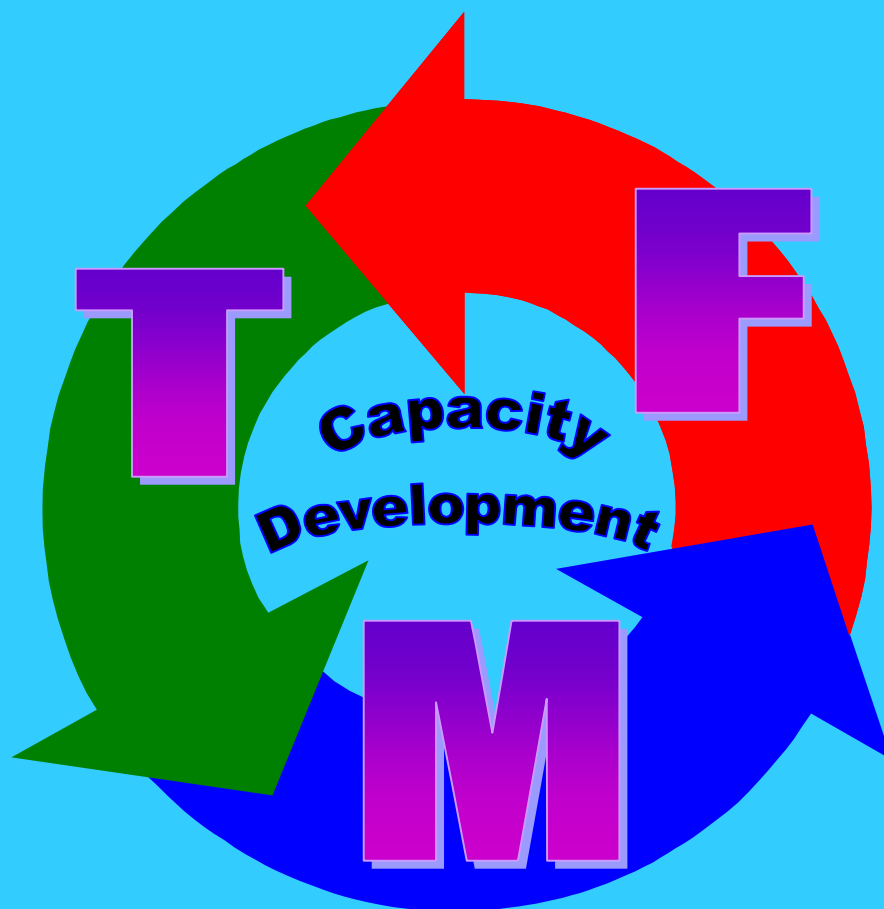
- Technical - actual hardware and the people who produce the service
- Managerial - decision makers who support the technical and financial aspects
- Financial - the money that makes it all happen

TMF is a three-legged stool



If one leg is too weak...

TMF Watch



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Who can Assess TMF Capacity?

Local government and district officials

System operators

Engineering and finance consultants

Funding agencies

Regulators

Technical Assistance providers

**Anyone can do it - easy to do using the
available checklists**

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How to Do a TMF assessment

TMF Checklist for water systems

MWPP Survey for wastewater systems

Both are available on EAO website at:

- **www.dnr.mo.gov/oac/emiapps.htm**

Steps to Building TMF Capacity

1. Review current operations & costs

- Where are we?
- Where do we want to be?

2. Identify ways to improve

- How do we get there?

3. Implement solutions (with support)

4. Review progress frequently

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How can I “fix” or improve my system’s Technical Capacity?

Determine:

- Is the system operating efficiently?
- Are staff operating proficiently?
- Can we share staff, equipment, supplies, expertise with others or sub-contract for services?

How can I “fix” or improve my Managerial Capacity?

Build a support network

- **Municipal officials and staff**
- **Citizens**
- **Software and print materials**
- **Consultants**
- **Associations**
- **Other nearby systems**

How can I “fix” or improve my Financial Capacity?

Optimize Revenues

Control costs

- **Drop expense items that produce marginal returns**
- **Take advantage of economies of scale, participate in co-ops, etc.**

Review procedures regularly

Other Considerations and Opportunities

**Citizens vs. clients
or customers**

Asset mapping

**Volunteers and
self-help**



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Technical Assistance Sources

State and Federal agencies:

- Department of Natural Resources' Environmental Assistance Office
- Other department programs and regional offices
- Department of Economic Development
- USDA (Rural Development)

Others:

- Regional planning commissions
- American Planners Assn. - MO Chapter
- MoROC
- Consultants

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Technical Assistance Sources

Associations:

- Missouri Municipal League
- Missouri Association of Counties
- International City/County Management Association
- MO Council of Governments (COG)

Planning Summary

Organize and think it out

Use resources and support network

Involve citizens

Decide, act, review results, change the plan

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Items Contained in Postscript

- Self-Help Information
- MEMP Overview

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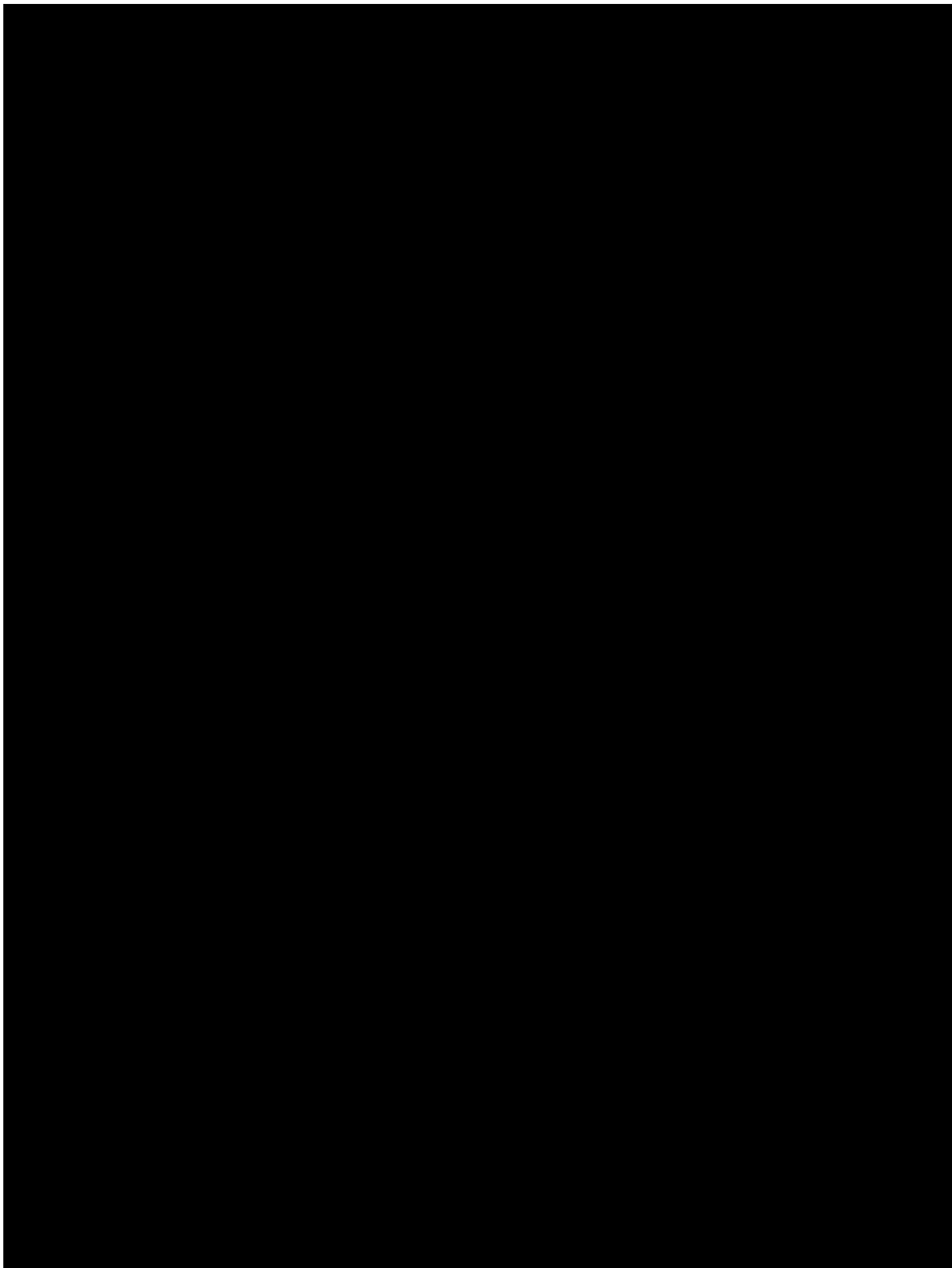
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Questions?

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Types of Planning

TMF - Technical, Managerial and Financial (discussed later)

Strategic - where are we and where do we want to be?

Community based planning - citizen controlled and oriented

Project - how do we build it?

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Types of Planning

Operational - how do we run it?

Financial - what is and will be our income and expenses?

Contingency - what will we do if something different happens?

Emergency - what will we do if something bad happens?

Others

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The Missouri Environmental Management Partnership (MEMP)

Department of Natural Resources
Outreach and Assistance Center
Environmental Assistance Office

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Environmental Management Systems

Definition

The **part of the overall management system** that includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the environmental policy.

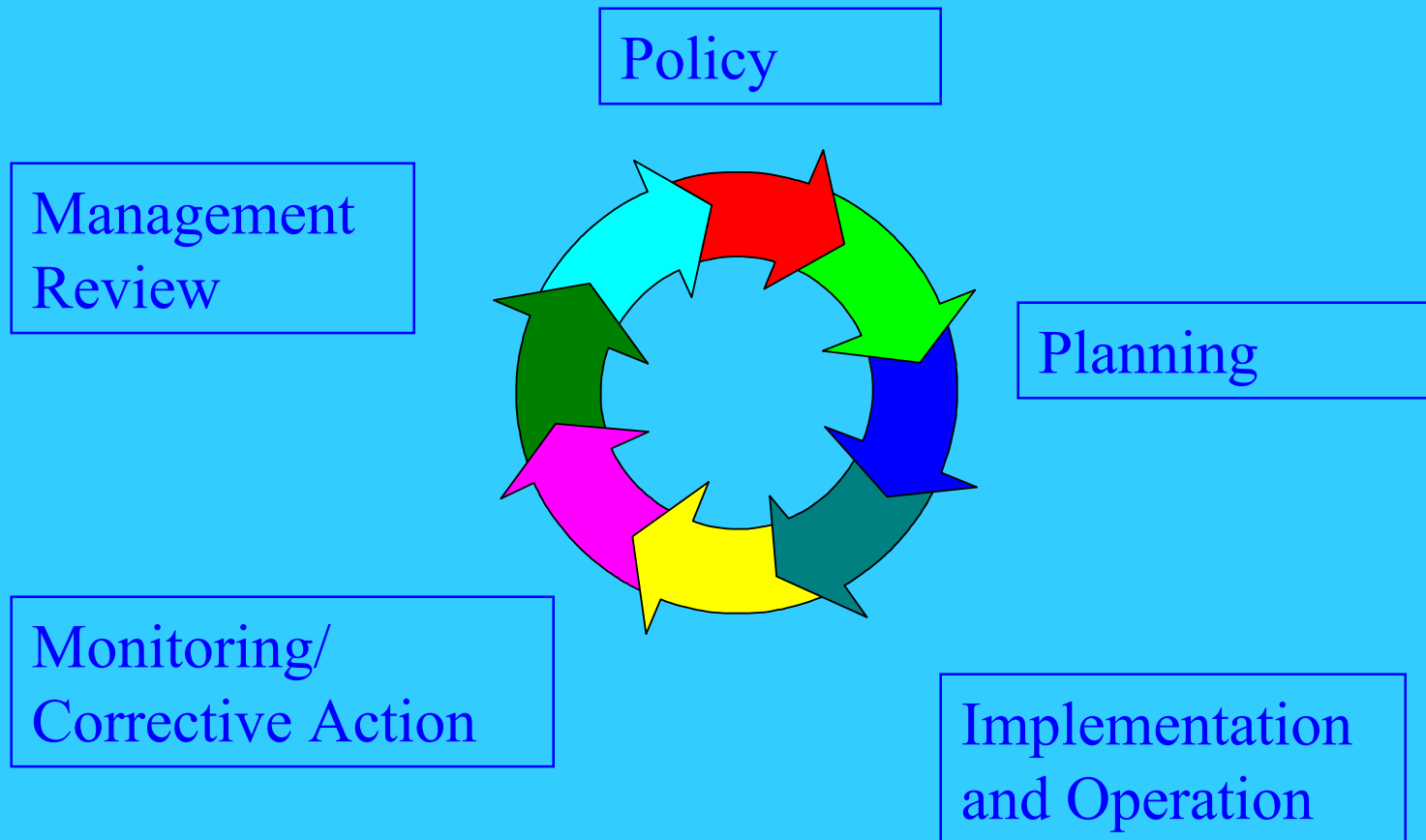
ISO 14001 Definitions

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Environmental Management Systems



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Environmental Policy

Commitment to continual improvement

Commitment to prevention of pollution

Commitment to compliance with applicable environmental rules and regulations

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Planning

Determining Aspects and Impacts

Determining Legal Requirements

Determining Priorities

Developing Objectives and Targets

Developing “Programs”

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Implementation and Operation

Structure and Responsibilities

Training, Awareness and Competence

Communication

Documentation/Document Control

Operational Control

**Emergency Preparedness and
Response**

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Checking and Corrective Action

Monitoring and Measurement

Corrective and preventive action

Record keeping

EMS audit

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Management Review

Should be conducted periodically to determine adequacy and effectiveness of EMS.

Should review the policy, objectives or other elements to make sure they are still suitable for the organization.

Critical Factors

Management support

Words, Actions, \$\$\$\$\$\$, Personnel

Employee awareness and involvement

Focus on results

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Environmental Management System Standards

ISO 14001

British Standard - BS7750

EU Eco-Management and Audit Scheme

CCA Responsible Care

Great Printers

NSF

National Biosolids Partnership

EPA Performance Track

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Perceived Benefits

Cost savings

Reduced risk

Increased operational efficiency

**Positive external relations and public
image**

Improved communication

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Benefits continued...

Greater employee stewardship

Shared environmental solutions

Improved public relations

Efficient use of inputs

**Preferential treatment from
government**

Performance based operations

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What is Missouri Doing?

Missouri Environmental Management Partnership (MEMP)

- A voluntary program to promote improved environmental performance by Missouri organizations through EMS development
- Program began in Spring 2003

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Missouri Environmental Management Partnership

Four participation categories

Recognition incentives

Permitting incentives

Enforcement mitigation

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Participation Categories

Partner

Certified Partner

Advanced Partner

Certified Advanced Partner

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Basic Participation Conditions

Ten element EMS

Annual report

**Compliance with regulatory
requirements**

Continual improvement of EMS

**On-site evaluation of EMS by
Department of Natural Resources**

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Advanced Participation Conditions

Third-party certification

**Performance levels more protective
than regulatory standards**

Commitment to pollution prevention

Regular community involvement

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MEMP EMS Elements

Policy statement

Evaluation of environmental impacts

Identify legal requirements

**Establish positive objectives and
targets**

Define roles and responsibilities

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EMS Elements (cont.)

Record keeping and reporting

Training

Emergency response

EMS assessment

Corrective action

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Recognition Incentives

Wall plaques, certificates

**News releases, articles in PMNR,
Missouri Resources or newsletter**

Web page on the department web site

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Permitting Incentives

Expedited Permit Reviews

Allowances for Piloting New Technology

Removal of Duplicative Permit Controls

Reporting Streamlining

**Other measures for Advanced and
Certified Partners as appropriate**

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Enforcement Mitigation

**Mitigation of self-reported violations
will be conducted through the
department's Conference,
Conciliation and Persuasion Policy**

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Process

**Application and supporting
documentation is submitted to EAO
Gatekeeper is assigned as primary
point of contact
Completeness check is performed**

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Process (cont.)

Gatekeeper coordinates a detailed review of the materials.

Gatekeeper facilitates an interview with the applicant

Gatekeeper recommends approval or denial to the MEMP Steering Committee

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Process (cont.)

Steering Committee reviews application, comments back or forwards approval recommendation to the Directors of ALPD and WPSCD.

Directors of ALPD and WPSCD review recommendation, comment back, or forward approval recommendation to department director.

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Process (cont.)

Policy Commission notification

Review and comment by external advisors

Department director reviews the recommendations and sends back comments or approval.

Upon final approval, acceptance letter is sent to applicant.

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For More Information

Environmental Assistance Office

- **1-800-361-4827**
- **Missouri Environmental Management Partnership Web site**
<http://www.dnr.mo.gov/oac/memp-ems.htm>

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